

| STATEMENT OF DEFICIENCIES<br>AND PLAN OF CORRECTION                          |  | X1) PROVIDER/SUPPLIER/CLIA<br>IDENTIFICATION NUMBER:<br><b>15G127</b> | (X2) MULTIPLE CONSTRUCTION<br>A. BUILDING <b>00</b><br>B. WING _____                  | (X3) DATE SURVEY<br>COMPLETED<br><b>04/13/2017</b>   |                            |
|--|--|---|---|--|----------------------------|
| NAME OF PROVIDER OR SUPPLIER<br><b>RES CARE COMMUNITY ALTERNATIVES SE IN</b> |  |   | STREET ADDRESS, CITY, STATE, ZIP CODE<br><b>1031 WEST ST<br/>NEW ALBANY, IN 47150</b> |  |                            |
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| W 0000<br><br>Bldg. 00   | <p>This visit was for the investigation of Complaint #IN00224873.</p> <p>Complaint #IN00224873: Substantiated. Federal/state deficiencies related to the allegations are cited at W111 and W142.</p> <p>Survey Dates: April 12 and 13, 2017.</p> <p>Facility Number: 000664<br/>Provider Number: 15G127<br/>AIMS Number: 100234310</p> <p>These deficiencies also reflect state findings in accordance with 460 IAC 9. Quality Review of this report completed by #15068 on 4/24/17.</p> |   | W 0000  |  |                            |
| W 0111<br><br>Bldg. 00   | 483.410(c)(1)<br>CLIENT RECORDS<br>The facility must develop and maintain a  |   |   |  |                            |

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

Any deficiency statement ending with an asterisk (\*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (see instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

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|   | <p>recordkeeping system that documents the client's health care, active treatment, social information, and protection of the client's rights.</p> <p>Based on record review and interview for 1 of 4 sampled clients (A), the facility failed to keep a complete inventory of the client's personal effects.</p> <p>Findings include:</p> <p>Client A's financial records and receipts were reviewed on 4/12/17 at 1:15 PM. The review indicated an April 2016 Client Finance Record\CFR.</p> <p>Accompanying the 4/16 CFR was a receipt from a local department store which indicated client A had purchased clothing, shoes and an electric razor on 4/10/16. The review indicated a 6/2016 CFR with accompanying receipts. A receipt dated 6/13/16 indicated a pedestal fan had been purchased at a local department store. The review indicated an August 2016 CFR. There was an invoice dated 8/16/2016 which indicated client A had purchased a bowling shoes, a bowling ball and a bag to keep his items in.</p> <p>Review of client A's 11/1/16 Personal Effects Inventory on 4/13/17 at 1:00 PM indicated the following categories:</p> <p>1. "Furniture (and) Appliances," under which television/stand was checked. It</p> | W 0111  | <p><b>W111:</b> The facility must develop and maintain a recordkeeping system that documents the clients' health care, active treatment, social information, and protection of the client's rights.</p> <p><b>Corrective Action:</b><br/><b>(Specific):</b> The Residential Manager will be re-trained on ensuring that all individuals personal inventory sheets are updated to reflect all belongings including that all purchases must be added when the items are purchased and in the home.</p> <p><b>How others will be identified:</b> <b>(Systemic):</b> All clients in the home will have an inventory of all belongings and all personal inventory sheets will be updated. The Area Supervisor will visit the home at least weekly for the next 30 days and at least monthly thereafter, to review</p> | 05/13/2017                                  |

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|   | <p>was unclear if client A had a television, a television stand or both.</p> <p>2. "Household Items/Linens" was blank.</p> <p>3. "Personal Items" was blank.</p> <p>4. "Clothing" had a list of various pieces of clothing.</p> <p>The Personal Effects Inventory had areas to list added/new items, discarded items and current items on a quarterly basis. There was no electric razor listed on the client's inventory. No pedestal fan was listed on the inventory. No bowling ball, shoes or bag were listed on client A's inventory.</p> <p>Interview with QIDP (Qualified Intellectual Disabilities Professional) #1 on 4/13/17 at 2:00 PM indicated direct contact staff were responsible for keeping clients' personal inventories updated at least quarterly. The interview indicated House Managers were to ensure direct contact staff updated the inventories and kept it in each client's file/record.</p> <p>This federal tag relates to Complaint #IN00224873.</p> <p>9-3-1(a)</p> |   | <p>all individuals' personal inventory sheets to ensure that all purchases or additional items have been added to the personal inventory sheet.</p> <p><b>Measures to be put in place:</b><br/>The Residential Manager will be re-trained on ensuring that all individuals' personal inventory sheets are updated to reflect all belongings including that all purchases must be added when the items are purchased and in the home.</p> <p><b>Monitoring of Corrective Action:</b> All clients in the home will have an inventory of all belongings and all personal inventory sheets will be updated. The Area Supervisor will visit the home at least weekly for the next 30 days and at least monthly thereafter, to review all individuals' personal inventory sheets to ensure that all purchases or additional items have been added to the personal inventory sheet.</p> |   |

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| W 0142<br><br>Bldg. 00   | <p>483.420(b)(2)<br/><b>CLIENT FINANCES</b></p> <p>The client's financial record must be available on request to the client, parents (if the client is a minor) or legal guardian.</p> <p>Based on interview and record review for 1 of 4 sampled clients (A), the facility failed to supply a financial record when the guardian first requested the records.</p> <p>Findings include:</p> <p>Client A's financial records and receipts were reviewed on 4/12/17 at 1:15 PM. Client A's discharge summary was reviewed on 4/13/17 at 3:08 PM. The reviews indicated no evidence of financial records for a three year period (2014, 2015, 2016) forwarded to client A's guardians.</p> <p>Interviews with client A's guardian were conducted on 4/12/17 at 7:44 PM and on 4/13/17 at 1:26 PM. The interviews indicated the guardian had requested financial records from the agency in December 2016 for the preceding three years. The financial records had not been</p> | W 0142  | <p><b>Completion Date: 05/13/17</b></p> <p><b>W142:</b> The clients financial record must be available on request to the client, parents (if the child is a minor) or legal guardian.</p> <p><b>Corrective Action:</b><br/><b>(Specific):</b> The Office Coordinator will be re-trained on ensuring that all clients, parents (if the child is a minor) or the legal guardian are provided copies of the individuals financial records when requested. A copy of the last three years of Client A's financial records will be provided to Client A's guardian.</p> <p><b>How others will be identified:</b> <b>(Systemic):</b> The</p> | 05/13/2017   |

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|   | <p>delivered to the guardian.</p> <p>Interview with the agency's Accounting Manager on 4/13/17 at 2:05 PM indicated client A's guardians had received monthly financial records via email until his discharge on 1/18/17. The interview indicated the agency was in the process of complying with the guardian's request for a three year time span of financial records for client A.</p> <p>This federal tag relates to Complaint #IN00224873.</p> <p>9-3-2(a)</p> |  | <p>Business Manager will follow up with the Office Coordinator at least weekly then at least monthly thereafter to ensure that clients, parents (if the client is a minor) or the legal guardian are provided with copies of financial records when requested.</p> <p><b>Measures to be put in place:</b><br/>The Office Coordinator will be re-trained on ensuring that all clients, parents (if the child is a minor) or the legal guardian are provided copies of the individuals financial records when requested. A copy of the last three years of Client A's financial records will be provided to Client A's guardian.</p> <p><b>Monitoring of Corrective Action:</b> The Business Manager will follow up with the Office Coordinator at least weekly then at least monthly thereafter to ensure that clients, parents (if the client is a minor) or the legal guardian are provided with copies of financial records when requested.</p> |   |

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